



S/N 09/945,184

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Knight, Timothy O.

Examiner: Apple, Kirsten S.

Serial No.: 09/945,184

Group Art Unit: 3628

Filed: August 31, 2001

Docket No.: 0006-003002

Title: STOCK TRADING APPLICATION PROGRAM

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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Mail Stop AF  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with 37 C.F.R. §§ 1.97 *et. seq.*, the referenced materials are brought to the attention of the Examiner for consideration in connection with the above-identified patent application. Applicant respectfully requests that this Supplemental Information Disclosure Statement be entered and the documents listed on the attached Form 1449 be considered by the Examiner and made of record. Pursuant to the provisions of MPEP 609, Applicant requests that a copy of the 1449 form, initialed as being considered by the Examiner, be returned to the Applicant with the next official communication.

Pursuant to 37 C.F.R. §1.97(d)(1) and 37 C.F.R. §1.97(e)(1), Applicants state that no item of information contained in the Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the Supplemental Information Disclosure Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the Supplemental Information Disclosure Statement.

Pursuant to 37 C.F.R. §1.97(d)(2), Applicant has included the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p). Please charge any additional fees or credit any overpayment to Deposit Account No. 50-3521. The Examiner is invited to contact the Applicants' Representative at the below-listed telephone number if there are any questions regarding this communication.



Conclusion

Based on the above, Applicant respectfully submits that all of claims 121-124, 126-129, 132-144, 146, and 147 are in condition for allowance, and notification to that effect is earnestly requested. The Examiner is invited to telephone Applicant's attorney (703-286-5735) to facilitate prosecution of this application.

If necessary, please charge any additional fees or credit overpayment to Deposit Account No. 50-3521.

Respectfully submitted,

Brake Hughes PLC  
Customer No. 53666  
Phone 703-286-5735

Date 11/22/06

By William G. Hughes  
William G. Hughes  
Reg. No. 46,112

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: Mail Stop Amendment, Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 22 day of November, 2006.

Laura Bray  
Name

Laura Bray  
Signature





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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	09/945,184
Filing Date	August 31, 2001
First Named Inventor	Knight, Timothy
Art Unit	3693
Examiner Name	Apple, Kirsten

Sheet

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of

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Attorney Docket No: 0006-003002

## US PATENT DOCUMENTS

Examiner Initial *	Cite No	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Filing Date if Appropriate
		US-6256651	07/03/2001	Tuli, R. S.	06/20/1997

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	T <sup>2</sup>
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## OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
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EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.<sup>1</sup> Applicant's unique citation designation number (optional) <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached